

Naval Inspector General



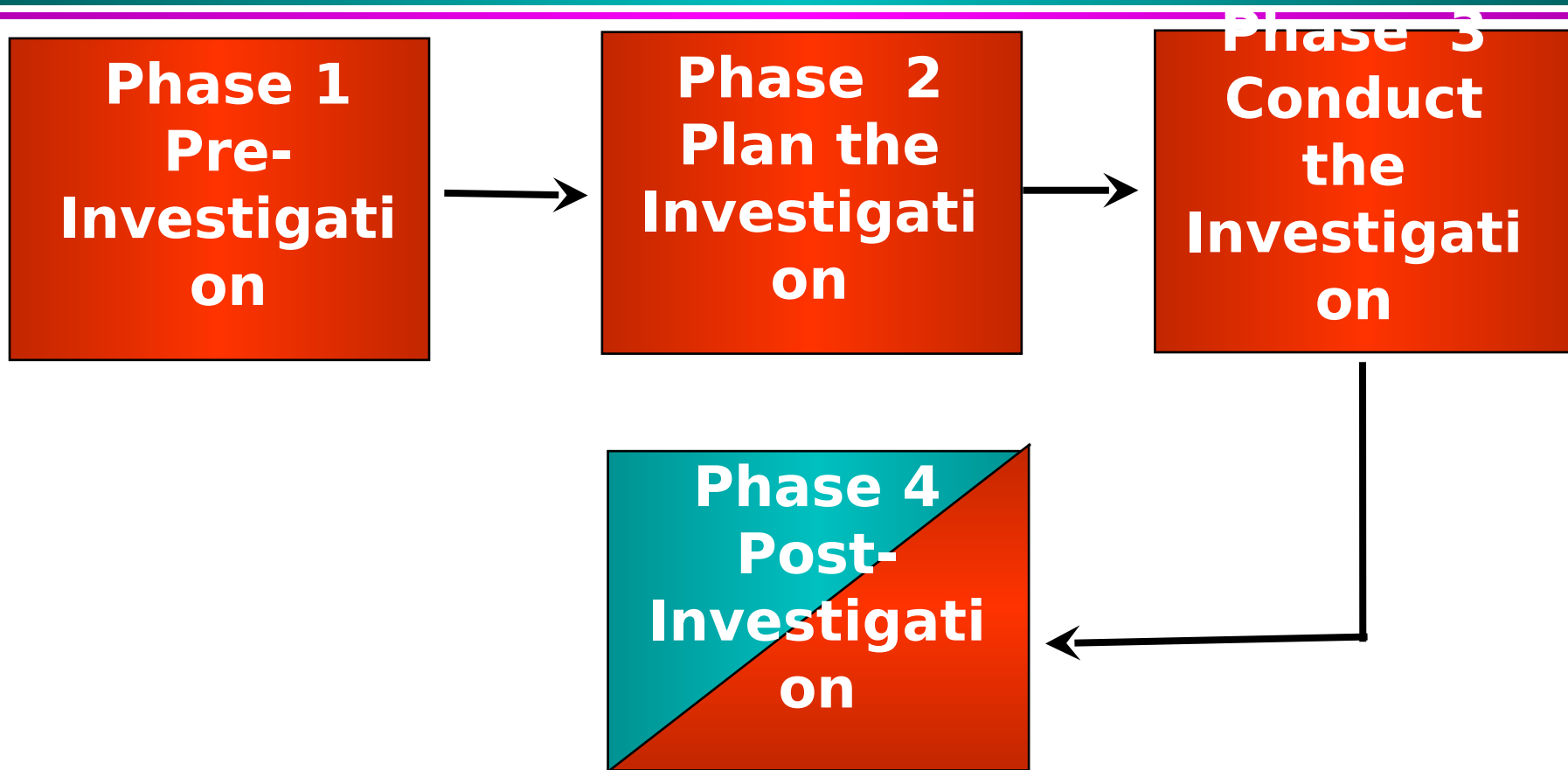
Washington Navy Yard, DC



Conscience of the Navy...Making a Difference!



Phase 4: Post - Investigation Complaint Resolution Procedure





Phase 4: Post Investigation Complaint Resolution Procedure

Phase 1: Pre-Investigation

Receive the Complaint

Analyze the Complaint

Draft the Allegation(s)

Determine the Action

Notify the Complainant

Phase 2: Plan the Investigation

Assign the IO

Mentor the IO

**Prepare & Maintain the
Plan**

Phase 3: Conduct the Investigation

Gather Information

Interview

Write the Report

Phase 4: Post-Investigation

**Conduct Quality Review of
the Report**

Notify Complainant & Subject

**Prepare the Case File for
Closing**



Phase 4: Post-Investigation



Conduct Quality Review of IR

Notify Complainant &
Subject

Prepare the Case for Closing



Quality Review

- Quality Review of Investigation & Report
 - Timeliness
 - Independence
 - Completeness
 - Accountability
- Post Investigation Checklist – Tool to Success



(The Dreaded) Re-work



IR is rejected and returned to IO by Tasking Authority. Why?

- Improperly framed allegations
- Failure to include statutes, regulations, instructions
- Flawed interviews
- Improper format
- Untrained IOs
- No legal sufficiency review (required in some cases)
- Poor IG / IO / SJA teamwork





Avoid Re-work



- Use the report format in the Guide – **not the Manual**
- Refer to the Investigations Manual, Guide and IG Website
- Create and use Investigation Plan
- Work closely with the tasking authority throughout the investigation – Ask for help!!!
- Obtain independent review before submission

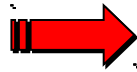


HOTLINE INVESTIGATIVE REPORT OUTLINE	
1.	Administrative Information
a.	Investigators and Identifying Information
b.	Location of Working Papers
2.	Background and Summary
a.	Hotline Control #s and Origin of Complaint
b.	Summary of the Complaint
c.	Optional
d.	Summary of the Outcome of the Investigation
e.	List of Allegations (Optional)
3.	First Allegation
a.	Facts
b.	Analysis/Discussion/Conclusion
c.	Recommendation(s)
d.	Disposition
4.	Second Allegation (if applicable)
5.	Interviews and Documents

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Phase 4: Post-Investigation Complaint Resolution Procedure



Conduct Quality Review of
IR

**Notify Complainant &
Subject**

Prepare the Case for
Closing



Notification

Complainant



- Inform complainant in writing
 - Substantiated / Unsubstantiated
- Don't compromise confidentiality or privacy act information



Notification

Subject

- IO should **not** discuss results of the investigation with the subject
- Generally, the responsible authority will notify the subject of the results if allegations are substantiated
- Subjects should be notified of unsubstantiated allegations ([Subject Notification Letter](#))
- Subjects have due process rights that permit access to most, if not all, of the file ([Notice to Review Authority](#))

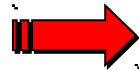


Phase 4: Post-Investigation



Conduct Quality Review of IR

Notify Complainant &
Subject



**Prepare the Case for
Closing**



Prepare the Case File for Closing

- QA case management information system (electronic case file)
- Cleanse the case file to prepare for release and retention
- Discard irrelevant documents
 - Notes of phone calls not pertinent to the IR
 - Maps / directions
 - Post-it notes
 - Gratuitous remarks
 - Investigator's travel and expense records



Prepare the Case for Closing

- Retain these documents
 - Correspondence
 - Completed Investigation Report
 - Investigation Plan (all iterations)
 - All evidence, e.g., statements, declarations, subject's travel orders
 - Legal opinions



Prepare the Case for Closing

- Close the investigation once you have cleansed the file
- Maintain record in accordance with SECNAVINST 5212.5D, "Navy and Marine Corps Records Disposition Manual"
- Store non-historical records for 10 years and then destroy them



Prepare the Case for Closing Release of Information

- NAVINSGEN is the release authority for all DoD IG and Navy investigations it has conducted (by agreement with DoD IG) or tasked to other DoN organizations
- All cases originating with a complaint to the hotline of another DoN organization are that organization's responsibility
- **Defer to the GCMCA or command FOIA office**



Phase 4: Post-Investigation

**Post
Investigati
on
Completed
!!**

**Conduct Quality Review of
IR**

**Notify Complainant &
Subject**

**Prepare the Case for
Closing**



Phase 4: Post Investigation Complaint Resolution Procedure

